

Checklist – Performance Appraisals & Awards

Performance Appraisals

_____ In the case of a Level 2 (shows deficiencies) or Level 1 (unacceptable) rating, have you: 1) consulted with the Employee Relations office? 2) attached a narrative justifying the negative rating, and 3.) obtained the signature of the Approving Official, prior to the appraisal meeting with the employee?

_____ Advance notice of formal appraisal meeting given.

_____ Employee is given option of scheduling a pre-appraisal meeting.

_____ Pre-appraisal meeting held, if requested by employee.

Supervisor prepares for formal appraisal meeting by:

_____ reviewing performance plan and ensuring each critical element has been rated;

_____ reviewing notes from progress review(s);

_____ reading the generic performance standards and any other Evaluation Criteria included in the plan; (generic standards will not be used from FY 2007 forward)

_____ considering information supplied at the pre-appraisal meeting, if one was held, and/or from meeting with the approving official;

_____ noting that summary ratings of Level 3 or above require only an overall summary narrative;

_____ assigning a proposed rating to each element; and a substantive written narrative for any element rated below Level 3;

_____ assigning a proposed performance summary rating using the required point scale on the CD-430

_____ Supervisor must confer with the approving official about the employee's performance summary rating and receive approval (including the approving official's signature on form CD-430) of the employee's rating before discussing the final rating with the employee.

_____ Formal appraisal meeting held with employee.

_____ Employee signs the appraisal form and is given a copy of the final rating.

_____ Employee may submit written comments to the approving official within five (5) working days of receipt of the appraisal and rating. The approving official must respond in writing to these comments within ten (10) working days.

_____ Copy of any changes to the final rating is given to employee by the approving official.

Awards

_____ Will the employee be recommended for a performance award? If so, is the employee eligible, and did you check to see if the employee will exceed the 10% cash award limit?

_____ Does the CD 430(d) Performance Summary Rating form contain the signatures of two different supervisors at successively higher levels?

_____ Is the approving official at the delegated level for the amount of the award?

ITA's Delegations of Authority for Approvals:

- Office Director: up to \$2000
- Deputy Assistant Secretary: up to \$3000
- Assistant Secretary: up to \$4000
- Under Secretary and Deputy Under Secretary: up to \$5000
- ITA Performance Review Board: over \$5000

_____ Political Appointees (Schedule C) are not eligible for performance awards

_____ Has the award been reviewed by the Budget Analyst assigned to your office?

_____ Is the correct award appropriation code included on the CD 430(d), Performance Recognition section of the form?

_____ Update the [Performance Management Tracking Spreadsheet \(PMTS\)](#) by inserting the correct award appropriation code. Please be prepared to submit your PMTS to OHRM upon request for National Finance System (NFC) entry, and for Accountability Audit purposes.